



COMPLIANCE
INSTITUTE
SOUTHERN AFRICA

CONTROL IDENTIFICATION AND RISK ASSESSMENT
Training outline 2025

Cost per person Incl. vat	CPD Points and Accreditation	Accreditations/Partnerships /Memberships	Method of Delivery / Format	Duration
Refer to the latest advertised events for current rates or as quoted	15 hours	n/a	Virtual via Microsoft Teams	3 days (5 hours training per day with breaks)

Course objectives

- to define the term 'compliance control' in their own words, and understand how compliance controls feature in varying degrees across all the phases in the Compliance Risk Management Process (i.e. profile, Compliance Risk Management Plan (CRMP), monitoring, reporting phases);
- to provide an overview of the key attributes of a control (type, category, degree of automation, frequency) that should be included in the organisation's Standard Operating Procedures (SOPs) and CRMP;
- to use their understanding of control categories, types and levels of automation to provide value-adding advice to business on control enhancements and/or shifts in the control environment to ensure cost effectiveness and efficiency;
- to formulate robust compliance controls that will enhance the quality of CRMP's and ease the monitoring process;
- to use their knowledge of control attributes in compiling a CRMP;
- to conduct the assessment of the Adequacy of a control and combination of controls to mitigate the risk of non-compliance to a provision of a compliance obligation by considering the efficiency, economy and existence of a control (practical methods and examples will be utilised);
- to conduct the Effectiveness of controls to mitigate the risk of non-compliance to a provision of a Compliance Obligation (practical examples will be utilised);
- to draft a control deficiency observation; and
- to determine the root cause for an observation.

Recommended fundamental knowledge

Attendees should have a foundational understanding of the GACP, Compliance risk identification as covered in the Introduction to Compliance and in the CRMP training courses.

Who should attend

We encourage Compliance Officers, Compliance Administrators and novices to compliance management or wanting to enter the compliance profession, or any other assurance provider from a combined assurance perspective to attend.



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The training programme would be ideal for those wishing to prepare for the Compliance Board Examinations, as it covers theoretical as well as practical aspects of the compliance control framework, especially as it relates to the CRMP and monitoring phases. This will allow for coverage of the best practice guidelines relating to the control framework environment as contained in the Generally Accepted Compliance Practice (GACP) Framework, as well as an opportunity to apply learnings by bringing in practical examples relating to the compliance control environment.

Investment: (Virtual)

For ticket rates – refer to the tickets on the event.

For inhouse training enquire at enquiries@compliancesa.com or complete this [inhouse enquiry form](#)

NOTE:

1. CISA will make every effort to host the specified training on the date / s as advertised. However, should unforeseen circumstances arise or an extenuating circumstance that is out of our control, we reserve the right to cancel or postpone the training. In event of CISA cancelling and or postponing the session, communication will follow in writing for next steps.
2. No AI readers are permitted.